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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 09/890,483 | 07/30/2001 | 1741 | 430 | 441/1/002 | 8 | 8 | 1 |

CONFIRMATION NO. 1698

Richard M Goldberg
25 East Salem street Suite 419
Hackensack, NJ 07601



FILING RECEIPT



OC000000006540835

Date Mailed: 09/10/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Shinichi Okamoto, Saitama, JAPAN;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A 371 OF PCT/JP01/00130 01/12/2001

Foreign Applications

JAPAN 2000-41991 01/14/2000
JAPAN 2000-104113 02/17/2000

Projected Publication Date: To Be Determined - pending completion of Security Review

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

Production method for ferrules

Preliminary Class

| | | | | | |
|--|--|---|--|--|--|
| FORM PTO-1500 (REV. 11-2000) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER 441/1/002 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) | |
| INTERNATIONAL APPLICATION NO. PCT/JP01/00130 | | INTERNATIONAL FILING DATE January 12, 2001 | | PRIORITY DATE CLAIMED January 14, 2000 | |
| TITLE OF INVENTION METHOD OF MANUFACTURING FERRULE | | | | | |
| APPLICANT(S) FOR DO/EO/US Shinichi OKAMOTO | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. | | | | | |
| 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. | | | | | |
| 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. | | | | | |
| 4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). | | | | | |
| 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) | | | | | |
| a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). | | | | | |
| b. <input type="checkbox"/> has been communicated by the International Bureau. | | | | | |
| c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). | | | | | |
| 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). | | | | | |
| a. <input checked="" type="checkbox"/> is attached hereto. | | | | | |
| b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). | | | | | |
| 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) | | | | | |
| a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). | | | | | |
| b. <input type="checkbox"/> have been communicated by the International Bureau. | | | | | |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. | | | | | |
| d. <input type="checkbox"/> have not been made and will not be made. | | | | | |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). | | | | | |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). | | | | | |
| 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | |
| Items 11 to 20 below concern document(s) or information included: | | | | | |
| 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. | | | | | |
| 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. | | | | | |
| 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. | | | | | |
| 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. | | | | | |
| 15. <input type="checkbox"/> A substitute specification. | | | | | |
| 16. <input type="checkbox"/> A change of power of attorney and/or address letter. | | | | | |
| 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. | | | | | |
| 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). | | | | | |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | | | | |
| 20. <input checked="" type="checkbox"/> Other items or information: | | | | | |
| a) Form PCT/RO/101; b) Form PCT/ISA/210 ; | | | | | |
| c) Application Data Sheet. | | | | | |

page 1 of 1

Certificate of Mailing By Express Mail Under 37 CFR 1.10

Express Mail "Mailing Label No.": ET113695281US
 Date of Deposit: JULY 30, 2001
 I hereby certify that this paper and/or fee is being deposited with

| | | |
|---|--|--|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5) INTERNATIONAL APPLICATION NO. PCT/JP01/00130 | ATTORNEY'S DOCKET NUMBER 441/1/002 | |
|---|--|--|

21. ☒ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO **\$1000.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO **\$860.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$710.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$690.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | |
|---|--------------|--------------|-----------|------------------|
| Total claims | 20 - 20 = | 0 | x \$18.00 | \$ 0 |
| Independent claims | 1 - 3 = | 0 | x \$80.00 | \$ 0 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | + \$270.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 860.00 |

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

\$ 430.00

SUBTOTAL = \$ 430.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE = \$ 430.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED = \$ 470.00

| | | |
|--|------------------------|------------------|
| | Amount to be refunded: | \$ |
| | charged: | \$ 470.00 |

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 07-1524 in the amount of \$ 470.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1524. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Richard M. Goldberg
 25 East Salem Street
 Suite 419
 Hackensack, New Jersey 07601

Richard M. Goldberg
 SIGNATURE

Richard M. Goldberg
 NAME

28,215
 REGISTRATION NUMBER